

**These doctoral regulations have been worded carefully to be up to date; however, errors cannot be completely excluded. The official German text available at the Office of Doctoral Affairs is the version that is legally binding.**

**Faculty Doctoral Regulations for the Faculty of Medicine at  
Friedrich-Alexander-Universität  
Erlangen-Nürnberg (FAU) (FPromO Med).  
Dated 21 January 2013**

amended by statutes of  
30 November 2016

With reference to Section 13 (1) in conjunction with Section 64 of the Bavarian Higher Education Act (BayHSchG), FAU passes the following Doctoral Regulations:

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## I. General Conditions

### § 1 Scope

<sup>1</sup>The valid version of these Faculty Doctoral Regulations (FPromO Med) supplements the General Doctoral Regulations of Friedrich-Alexander-Universität Erlangen-Nürnberg (RPromO) for the Faculty of Medicine; these Doctoral Regulations are thus structured in a similar manner. <sup>2</sup>The Faculty Doctoral Regulations are stipulated in the relevant sections, insofar as they shall apply.

### § 2 Doctoral Degrees

### § 3 Doctoral Titles

### § 4 Bodies Responsible and Procedural Regulations

(1) <sup>1</sup>There is a separate doctoral affairs committee for each of the doctoral degrees in medicine, dentistry and human biology. <sup>2</sup>The members of each of the doctoral affairs committees are:

1. The Dean (chairperson)
2. Two further members appointed by the Faculty Council from the authorised examiners for the examination of doctoral degrees at the Faculty of Medicine

The Dean may transfer their position as chair or any other of their tasks to the Vice Dean or another professor of the Faculty of Medicine. <sup>3</sup>A university lecturer from the Faculty of Humanities, Social Sciences, and Theology, the Faculty of Sciences, the Faculty of Business, Economics, and Law, or the Faculty of Engineering shall also be appointed to the Doctoral Affairs Committee for Human Biology and shall generally be included from the doctoral qualification examination onwards.

(2) <sup>1</sup>For each doctorate procedure, the Doctoral Affairs Committee responsible shall appoint an Examining Committee which consists of the chairperson and

1. two (Dr. med, Dr. med. dent.) or
2. three (Dr. rer. biol. hum)

authorised examiners for doctoral degrees. <sup>2</sup>At least two members of the Examining Committee according to (1)(1) or three members according to (1)(2) must be professors.

<sup>3</sup>The supervisors and the reviewers shall be appointed to the Examining Committee according to § 5. <sup>4</sup>A maximum of two members of the Examining Committee according to (1)(2) may be appointed from another faculty or another university. <sup>5</sup>One of the members listed in (1)(2) must be a member of the Faculty of Humanities, Social Sciences, and Theology, the Faculty of Business, Economics, and Law, the Faculty of Sciences or the Faculty of Engineering at FAU depending on the discipline of the candidate's doctoral proposal.

### § 5 Reviewers and Supervisors

(1) The supervisor is generally also a reviewer.

(2) <sup>1</sup>According to Section 5 (2)(2) RPromO, only primary and secondary members of the Faculty of Medicine are entitled to supervise doctoral degrees in the sense of Section 5 (2)(1)(1). <sup>2</sup>Part-time lecturers and individuals with doctoral degrees (who are able to continually supervise the doctoral proposal due to their employment at FAU or an institution

associated with FAU) can be appointed as supervisors according to Section 5 (2)(3) RPromO on an individual basis.

## II. Admission to a Doctorate

### § 6 Admission Requirements

(1) The requirements for admission to a doctorate procedure are:

1. Dr. med.  
A pass in the State Examination for medicine (*ärztliche Prüfung*) at a university within German jurisdiction and proof of study at FAU according to (2)
2. Dr. med. dent.  
A pass in the State Examination for dentistry (*zahnärztliche Prüfung*) at a university within German jurisdiction and proof of study at FAU according to (2).
3. Dr. rer. biol. hum.  
A degree according to (3)(1), evidence of the qualifications specified in (4), evidence of fulfilment of the requirements in (3)(4) and (3)(7), and a pass in the doctoral qualification examination described in Section 7.

(2) <sup>1</sup>A further requirement for admission to a doctorate procedure for the degrees Dr. med. and Dr. med. dent. is proof of study at FAU (in medicine or dentistry) for at least two semesters or employment as a research associate for at least one year at an FAU institute or department. <sup>2</sup>The Dean can waive this admissions requirement in extraordinary circumstances at the candidate's request and following consultation with a subject representative.

(3) <sup>1</sup>A requirement for admission to the doctorate procedure for the degree Dr. rer. biol. hum. in the sense of (1)(3) is one of the following university degrees:

1. Master's degree, Diplom, Magister, Staatsexamen or an equivalent university degree obtained in a relevant degree programme at a German university in the sense of Sentences 2 and 3 or an equivalent degree from another country

in conjunction with:

2. An overall grade of 2.5 (gut) or better.

<sup>2</sup>Subject to the provisions of Sentence 3, a relevant degree in the sense of Sentence 1 is a degree in mathematics, natural sciences, biomedicine, veterinary medicine, pharmacy, engineering, health sciences or psychology. <sup>3</sup>Whether a degree is relevant or not shall be decided by the Doctoral Affairs Committee after a statement has been made by the supervisor on the relationship between the completed degree programme and the discipline of the candidate's doctoral proposal. <sup>4</sup>If a candidate's overall grade is worse than 2.5, the candidate may request exemption from the requirement specified in Sentence 1 (2) provided that the overall grade is 3.0 or better and that they pass the doctoral qualification examination described in Section 7. <sup>5</sup>If a candidate with a relevant degree from a non-German university or equivalent higher education institution in the sense of Sentences 2 and 3 applies for admission to the doctorate procedure, the Central Office for Foreign Education (ZAB) shall generally be consulted in order to determine whether the foreign qualification is to be recognised. <sup>6</sup>If the foreign degree is recognised, the modified Bavarian formula shall be used to convert the overall grade of the foreign degree in the sense of Sentences 1 and 4, and the result shall be used to determine whether the candidate can be admitted to the doctorate procedure. <sup>7</sup>If it cannot be clearly determined whether the foreign degree is to be recognised and the result of the conversion of the overall grade of the foreign degree using the modified Bavarian formula is 3.0 or better, the candidate must sit a doctoral qualification examination as described in Section 7; if the result of the conversion of the overall grade is worse than 3.0, the candidate shall be refused admission to the doctorate procedure. <sup>8</sup>Candidates who have obtained a degree

according to (1)(1) and have subsequently successfully completed a doctoral degree may only apply for the doctorate procedure for the degree Dr. rer. biol. hum. if they have completed an additional degree according to (1) or been admitted to a structured doctoral degree programme at the Faculty of Medicine.

(4) <sup>1</sup>In order to be admitted to the doctorate procedure according to (1)(1)(3), candidates must provide proof of at least two years of full time employment at an institution of FAU's Faculty of Medicine or a doctoral scholarship under the supervision of a university lecturer at FAU's Faculty of Medicine. <sup>2</sup>If they are unable to provide this proof upon admission to the doctorate procedure, they may submit it at a later date before the initiation of the doctorate procedure according to Section 9. <sup>3</sup>In the case of Sentence 2, an explanation of the candidate's employment situation during their work on the doctoral proposal must be provided by the supervisor at the time of admission instead. <sup>4</sup>At the candidate's request, the Doctoral Affairs Committee may recognise periods of employment of up to one year at another university, equivalent higher education institution, or non-university research institution belonging to the Max Planck Society, Fraunhofer-Gesellschaft, the Helmholtz Association or the Leibniz Association. <sup>5</sup>Furthermore, at the supervisor's request, if valid reasons are provided, the Doctoral Affairs Committee may recognise periods of part-time employment at an institution of FAU's Faculty of Medicine with weekly working hours of less than half of the average weekly working hours.

(5) The entitlement to bear a doctoral title for medicine, dentistry or human biology or an academic title that is equivalent to one of these doctoral titles precludes the right to graduate in a doctoral degree programme leading to the same title.

## **§ 7 Doctoral Qualification Examination**

(1) <sup>1</sup>A doctoral qualification examination according to Section 6 (3)(4) and (3)(7) shall be conducted for doctorate procedures in human biology. <sup>2</sup>This shall be used to determine the candidate's ability to successfully work on and complete a corresponding doctoral proposal.

(2) <sup>1</sup>The Doctoral Affairs Committee appoints the examiners after considering suggestions for examiners from the candidate and from the supervisor where applicable. <sup>2</sup>The following shall be appointed

1. An examiner from the institution the candidate is employed at or funded by
2. An examiner from the authorised examiners for doctoral degrees
3. A member as an additional examiner according to Section 4 (1)(3)

(3) <sup>1</sup>The doctoral qualification examination shall be held in the form of an oral examination; it shall be conducted within three months of receipt of the application for admission to the doctorate procedure. <sup>2</sup>The oral examination, which shall be opened with a presentation by the candidate lasting no more than 20 minutes, shall cover the fundamental aspects of the intended topic of the doctoral degree. <sup>3</sup>The candidate must show that they possess the fundamental research skills required in their discipline and it is therefore to be expected that they will be able to deal with the topic of the thesis successfully. <sup>4</sup>After the candidate's introductory presentation, each examiner shall be given sufficient opportunity to make an assessment according to Sentence 3. <sup>5</sup>The length of the doctoral qualification examination shall not exceed 60 minutes.

(4) <sup>1</sup>The examiners shall announce the result directly after the examination as 'bestanden' (pass) or 'nicht bestanden' (fail). <sup>2</sup>If at least two examiners vote for 'bestanden' (pass), whereby the member of the Examining Committee according to Section 4 (1)(3)

must be one of these two examiners, the doctoral qualification examination has been passed.

### **§ 8 Admission to a Doctorate**

After the application for admission to a doctorate has been received, the director of the academic or clinical institution supervising the doctoral proposal must agree to the use of resources and patient data if applicable.

## **III. The Doctorate Procedure**

### **§ 9 Initiation of the Doctorate Procedure**

If the doctoral proposal is administered by another institution which does not belong to the Faculty of Medicine, the agreement of the director of the institution must be submitted to the Faculty of Medicine during initiation of the doctorate procedure.

### **§ 10 Requirements for the Thesis**

(1)<sup>1</sup> All theses written in German must be accompanied by an abstract in English. <sup>2</sup>This shall apply to cases according to (2) and (3) accordingly if the articles that have already been published are in German.

(2) <sup>1</sup>For the doctorate procedure for the degree Dr. med. or Dr. med. dent., a research article of which the candidate is the lead author that has already been published in a recognised scientific journal in the relevant subject with a note indicating that it is to be used as part of a doctoral thesis may be accepted instead of a thesis (alternative written doctoral research). <sup>2</sup>If there is more than one lead author, the article that has been published in a recognised scientific journal may be accepted if the candidate is listed first in the list of authors. <sup>3</sup>Scientific journals shall be considered recognised in the sense of these Faculty Doctoral Regulations if they are listed in a recognised citation database of the relevant subject, in particular SCI or PubMed, or in lists of recognised scientific journals published by academic societies. <sup>4</sup>The publication that is submitted in place of a thesis must contain 10 to 25 pages of German text which make the relevance of article to the field clear; Section 10 (5) remains unaffected. <sup>5</sup>In exceptional cases, instead of confirmation according to Section 10 (3)(3) RPromO, the supervisor may submit confirmation of the candidate's contributions in relationship to those of other co-authors.

(3) <sup>1</sup>For the degree Dr. rer. biol. hum., if the supervisor agrees, the candidate may submit a collection of articles which have already been published in recognised scientific journals or articles which have been accepted for publication (cumulative dissertation) instead of a thesis. <sup>2</sup>The versions of the articles that form part of the cumulative dissertation that are published in the scientific journal must include a note indicating that they are part of a dissertation. <sup>3</sup>Only research articles published in recognised scientific journals in the relevant subject may be included in a cumulative dissertation. <sup>4</sup>Scientific journals shall be considered recognised in the sense of these Faculty Doctoral Regulations if they are listed in a relevant citation database of the relevant subject, in particular SCI, SSCI, A&HCI or PubMed, or in lists of recognised scientific journals published by academic societies. <sup>5</sup>The candidate must be the lead author of at least two of the publications. <sup>6</sup>Paragraph (2)(4) and (2)(5) shall apply accordingly, whereby in the case of (2)(4) the topic connecting the published articles must be explained.

### **§ 11 Evaluation, Acceptance and Refusal of the Thesis**

(1) <sup>1</sup>The evaluation shall include a grade. <sup>2</sup>The following grade scales shall apply:

'summa cum laude' = ausgezeichnet (1) = an outstanding achievement  
 magna cum laude = sehr gut (2) = an excellent achievement  
 'cum laude' = gut (3) = for commendable achievement  
 'rite' = befriedigend (4) = for satisfactory achievement  
 'insuffizienter' = unzulänglich (5) = an unsatisfactory achievement with significant omissions

<sup>3</sup>If both reviewers agree on the grade 'summa cum laude', two additional reviewers shall be appointed for the procedure according to (2); at least one of these reviewers must be a member of another university. <sup>4</sup>For the degree Dr. rer. biol. hum., one of the reviews must be conducted by a member of FAU's Faculty of Humanities, Social Sciences, and Theology, Faculty of Sciences, Faculty of Business, Economics, and Law, or Faculty of Engineering, or an equivalent faculty of another university depending on the discipline of the candidate's doctoral proposal.

(2) <sup>1</sup>For the grade 'summa cum laude' to be awarded, all reviewers according to (1)(3) must agree to award this grade. <sup>2</sup>Furthermore, in this case the candidate's article must have been published or accepted for publication in a recognised journal in the sense of Section 10 (2)(3) or Section 10 (3)(4) in the relevant subject, whereby the candidate must be the sole lead author.

(3) <sup>1</sup>A third evaluation shall be requested for doctoral degrees in human biology if both initial evaluations are graded as 'magna cum laude'. <sup>2</sup>The third review according to Sentence 1 must be conducted by a member of FAU's Faculty of Humanities, Social Sciences, and Theology, Faculty of Sciences, Faculty of Business, Economics, and Law, or Faculty of Engineering, or an equivalent faculty of another university depending on the discipline of the candidate's doctoral proposal. <sup>3</sup>The grade 'magna cum laude' may only be awarded if none of the evaluations propose a grade lower than 'magna cum laude'.

(4) <sup>1</sup>If the thesis is accepted, the Doctoral Affairs Committee shall decide on the grade based on the evaluations and the grades specified in (1). <sup>2</sup>The Faculty Council shall take the decision to award the grade 'summa cum laude' based on the suggestion of the Doctoral Affairs Committee; only authorised examiners for doctoral degrees may take part in this decision.

## **§ 12 Oral Examination**

(1) The oral examination covers the topic of the thesis and the contextual relationships between the topic of the thesis and research questions in other disciplines, particularly in related disciplines in theory and practice.

(2) <sup>1</sup>In the case of Dr. rer. biol. hum and in the case of Dr. med. and Dr. med. dent. if the grade 'summa cum laude' is awarded, the oral examination shall be held in the form of a public *Disputation* in German or English; Paragraph (5)(2) shall apply accordingly. <sup>2</sup>The *Disputation* consists of a 20-minute presentation of the thesis results by the candidate. <sup>3</sup>An academic discussion lasting up to 40 minutes led by the chairperson of the Examining Committee shall be conducted after the presentation. <sup>4</sup>The Dean can allow a *Disputation* to be held in cases other than specified in Clause 1 at the candidate's or supervisor's request. <sup>5</sup>The *Disputation* shall be held by four months at the latest after the thesis has been accepted by the Doctoral Affairs Committee.

(3) <sup>1</sup>Each member of the Examining Committee shall assess the performance of the candidate in the oral examination with a grade specified in Section 11 (1)(2). <sup>2</sup>The grade for the oral examination is calculated from the arithmetic average of the individual grades from the examiners; the result is calculated to two decimal places.



(4) If the oral examination is graded as 'insufficenter' by at least two members of the Examining Committee, the oral examination shall be considered as failed.

(5) <sup>1</sup>Even in cases that do not fall under (2)(1), admitted doctoral candidates and other members of the Faculty of Medicine may be admitted to the oral examination as listeners in restricted numbers by the chairperson of the Examining Committee, if the candidate does not object to their presence. <sup>2</sup>This shall not apply to the determination and notification of the examination results.

(6) The oral examination may be conducted with the help of audiovisual telecommunication technologies; Section 12 a RPromO applies.

### **§ 13 Resitting the Oral Examination**

#### **§ 14 Results of the Doctorate Procedure, Notification**

<sup>1</sup>The overall grade for the degree is calculated from the average of the thesis grade and the oral examination. <sup>2</sup>The thesis grade is weighted twice. <sup>3</sup>The overall grades according to the average are:

- up to 1.17 'summa cum laude' (= ausgezeichnet)
- between 1.18 and 2.50 'magna cum laude' (= sehr gut)
- between 2.51 and 3.50 'cum laude' (= gut)
- 3.51 or higher 'rite' (= befriedigend)

### **§ 15 Publication of the Thesis and Submission of the Mandatory Copies**

#### **§ 16 Completion of the Doctoral Degree**

<sup>1</sup>The doctoral degree certificate is issued in German language; an authorised translation of the doctoral degree certificate may be issued in English on request. <sup>2</sup>A traditional certificate may be issued in Latin on request. <sup>3</sup>The Dean of the Faculty of Medicine shall sign the doctoral degree certificate.

## **IV. Honorary Doctoral Degrees**

### **§ 17 Honorary Doctoral Degree Certificates**

<sup>1</sup>A candidate may be proposed for an honorary doctoral degree at the request of at least two thirds of the authorised doctoral degree examiners on the Faculty Council. <sup>2</sup>The Faculty Council shall decide whether to grant the request.

## **V. Interuniversity Co-operation**

### **§ 18 Interuniversity Co-operation**

## **VI. Doctoral Degrees in Co-operation with Foreign Universities**

### **§ 19 General information**

### **§ 20 Examination Procedure at FAU**

### **§ 21 Examination Procedure at the Partner Institution**

### **§ 22 Joint Doctoral Degree Certificate**

## **VII. Invalidity and Revocation of Doctoral Degrees**

## **§ 23 Invalidity of Doctoral Examinations**

## **§ 24 Revocation of Doctoral Degrees**

### **VIII. Concluding Provisions**

## **§ 25 Legal Validity and Transitory Provisions**

(1) <sup>1</sup>These regulations come into effect on the day after their publication. <sup>2</sup>They shall apply to all doctorate procedures submitted after this FPromO has come into effect.

(2) The FAU Doctoral Regulations of the Faculty of Medicine from 7 September 1989, last revised on 27 April 2011, shall no longer apply according to (3).

(3) <sup>1</sup>All existing doctorate procedures initiated prior to the new RPromO and FPromO shall be governed according to the Doctoral Regulations of the Faculty of Medicine of FAU from 7 September 1989, last amended on 27 April 2011. <sup>2</sup>Candidates whose doctorate procedures have already been admitted but are not yet initiated may choose whether these doctoral regulations or the regulations according to (2) shall apply. The candidate shall inform the Office of Doctoral Affairs by 31 March 2013 at the latest.